

LLNL COMMERCIAL PROCUREMENT PROCEDURES

Title: Documentation

Procedure No.: P-800

Issue Date: January 7, 2003

Supersedes: July 21, 2000

I. PURPOSE

This procedure defines the requirements for documenting procurement actions.

II. SCOPE

This procedure applies to all procurement actions.

III. GENERAL

The procurement specialist shall maintain documentation that is appropriate for the value of the procurement and adequate to establish the propriety of the transaction and the reasonableness of the price paid. The procurement file shall document all decisions relevant to the action, and address any procurement issues that may arise in the future that may be relevant to the purchase. Issues that clearly do not apply do not need to be addressed in the procurement file, such as documenting that the Davis Bacon Act is not applicable to a non-construction subcontract. Enough information should be included in the procurement file so that a person versed in Laboratory procurement procedures can read the information and conclude that all actions taken relative to the procurement were appropriate and in the best interests of the University and the Government. The documentation shall be as brief and concise as possible, organized using standard divider tabs where appropriate, and filed in chronological order.

IV. PROCEDURES

A. Content of Procurement Files

Generally, the procurement file (which collectively consists of the electronic file and any hardcopy files) shall contain all documents and records related to a procurement, including market research, solicitation, award, and administration activities.

The procurement specialist should refer to the various P&M procurement policies, procedures, deskguides and instructions, and forms available on the P&M Document Management System (DocMan), including the "Matrix of Requirements," for determining the specific documentation requirements for a procurement.

The following are examples of documents to be included, if applicable, in the procurement file:

- All requisition-related documents, such as the statement of work and/or specifications, and other presolicitation documents;

(NOTE: A copy of the electronic requisition is not required. If needed, a copy of the requisition may be generated from TOPS.)

- The list of suppliers solicited, and any supporting documents;
- The solicitation document, and any amendments thereto;
- The proposals / quotations submitted by suppliers, including any representations and certifications;

LLNL COMMERCIAL PROCUREMENT PROCEDURES

Title: Documentation

Procedure No.: P-800

Issue Date: January 7, 2003

Supersedes: July 21, 2000

(NOTE: A fully executed Representations and Certifications Form is required when the cumulative value of the award and any modifications first exceeds \$100,000.)

- The technical review memorandum or technical evaluation of cost proposal;
- Any documentation necessary to explain rationale for supplier selection, reasonableness of price, or other relevant issues, be it in narrative or checklist form (e.g.; Summary Documentation Form, Bid Abstract, Selection Statement);

(NOTE: A Summary Documentation Form is required for procurement actions in excess of \$25,000.)

- Any required approval documents, such as a wage determination under the Davis-Bacon or Service Contract Act, FOCI determination, OCI determination, etc.;
- A complete copy of the purchase order / subcontract / agreement and any subsequent modifications;
- Any correspondence, such as letters, memos, electronic transmissions, etc.;
- Any relevant records of verbal communications, such as telephone conversations, meeting minutes, or records of the proceedings of a pre-proposal conference; and
- Any memorandums to file.

B. Electronic Procurement Files

Electronic procurement files, which allow for a paperless system, shall be established for all procurement actions. The electronic version of a procurement file shall be considered the primary file.

- Electronic procurement files for all verbal orders shall be established in the PARIS System and, if there are any related documents, they should be filed in the DocMan P&M Contract Files folder.
- Electronic procurement files for all written procurement actions shall be established in the P&M Contract Files folder within ten working days after the related action. All related electronic documents (solicitation and award documents, etc.) shall be filed in the electronic procurement file.

Where practicable, procurement specialists shall convert all hardcopy documents to an electronic document for filing in the P&M Contract Files folder, including proposals, signature copies of documents, correspondence, etc. Standard documents available in DocMan and utilized without change should not be filed in the P&M Contract Files folder (i.e., General Provisions, etc.). Documents that have been converted to an electronic document need not be retained in a hardcopy procurement file and may be discarded.

Procurement specialists may keep a hardcopy procurement file for documents which are too voluminous, cumbersome, or otherwise not practical to be converted to an electronic document. These hardcopy documents are considered to be the primary documents and must be maintained for the record. The existence of the hardcopy procurement file, if any, must be identified in the P&M Contract Files folder.

LLNL COMMERCIAL PROCUREMENT PROCEDURES

Title: Documentation

Procedure No.: P-800

Issue Date: January 7, 2003

Supersedes: July 21, 2000

C. Facsimiles

For business record and documentation purposes, facsimiles shall be considered as reliable as originals. The procurement specialist need not expend effort to obtain original versions of facsimiles.